

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 205200US2PCT		SERIAL NO. 09/807,963	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Yuji UENOHARA, et al.			
				FILING DATE June 1, 2001		GROUP 3691	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
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	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES      NO		
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	YACINE AIT-SAHALIA and ANDREW W. LO, Nonparametric Estimation of State-Price Densities Implicit in Financial Asset Prices, journal of Finance, Volume 53, No. 2, April 1998, Pages 499-547.					
	AX	HIROSHI KOBAYASHI, MITSUHIRO KIMURA and IKUO MATSUDA, The Extension of Simulated Annealing Method and its Application to Investment Problem with Predicted Values of Time Series, Volume 96, No. 4, January 1996, Pages 37-42.					
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							